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BEFORE THE ARIZONA CORPORATION COMMISSION

COMMISSIONERS

DOUG LITTLE, Chairman
BOB STUMP
BOB BURNS
TOM FORESE
ANDY TOBIN

RECEIVED
AZ CORP COMMISSION
DOCKET CONTROL

2016 SEP 26 PM 3 49

In the matter of:

David J. Escarcega (CRD No. 4367584), an
unmarried man,

Respondent.

Docket No. S-20956A-16-0090

**RESPONDENT'S
LIST OF
WITNESSES AND EXHIBITS**

Respondent, David J. Escarcega ("Mr. Escarcega"), provides the following list of witnesses
and exhibits:

List of Witnesses

1. David Escarcega
c/o Polsinelli PC
One East Washington Street, Suite 1200
Phoenix, AZ 85004
2. Audrey Kuwabara
Chief Risk Officer & General Counsel
Arque Capital, Ltd.
7501 East McCormick Parkway, Suite 111 North Court
Scottsdale, AZ 85258
3. Jerrold and Donna Beck (JB & DB)
7342 E. Pueblo Avenue
Mesa, AZ 85208
4. Robert D. Lemaster (RL)
2113 E. Melody Lane
Yuma, AZ 85365
5. Marshall P. Duer (MD)
1173 N. Seton Ave
Gilbert, AZ 85234

Arizona Corporation Commission
DOCKETED

SEP 26 2016

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6. Richard L. Evans (RE)
260 W. 20th Street
Safford, AZ 85546
 7. Niels P. and Roswitha F. Jorgensen (NJ and RJ)
14415 Yazoo Street
San Diego, CA 92129
 8. Cynthia McLeroy (CM)
11602 Eudora Lane
Garden Grove, CA 92840
 9. Nancy Zone (NZ)
16339 Gabarda Road
San Diego, CA 92128
 10. Patricia Bresee (PAB)
861 W. Northern Avenue
Coolidge, AZ 85128
 11. Sandra Charon (SC)
701 S. Dobson Road, Lot 373
Mesa, AZ 85202
 12. Nellie Hermes (NH)
1701 E. Apollo Road
Phoenix, AZ 85042
 13. Wallace Johnson and Satoko Mitasky (WJ and SM)
11059 Matinal Circle
San Diego, CA 92127
 14. Karl Kopp (KLK)
20148 N. Painted Sky Drive
Surprise, AZ 85374
 15. Donald and Karin Kelleher (DK and KK)
757 N. Date Palm Drive
Gilbert, AZ 85234
 16. Paul Busalacchi (PB)
19505 W. Meadowbrook Ave.
Litchfield Park, AZ 85340
 17. Alan Molmod (AM)
15082 N. 86th Lane
Peoria, AZ 85381

- 1 18. Naomi Golub (NG)
2 Trustee, The Golub Family Revocable Trust
3 12205 San Tomas Ct.
4 San Diego, CA 92128
- 5 19. Jerry Lowe
6 Special Investigator
7 Arizona Corporation Commission, Securities Division
8 1300 West Washington Street, Third Floor
9 Phoenix, AZ 85007
- 10 20. Custodian of Records
11 Securities Division
12 Arizona Corporation Commission
13 1300 West Washington Street, Third Floor
14 Phoenix, AZ 85007
- 15 21. Any investor, investigator, accountant, document custodian, or other person having
16 knowledge regarding the subject matter of this docket, as disclosed in the List of
17 Witnesses and Exhibits or Exhibits of any other party.
- 18 22. Any witness listed on the Securities Division's List of Witnesses.

19 Respondent reserves the right to supplement this list.

20 **List of Exhibits**

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EXHIBIT	DESCRIPTION
R-001	GWG Tri-Fold Filer Ad with review letter dated August 29, 2012.
R-002	GTW Postcard Ad with review letter dated August 29, 2012.
R-003	GWG Newspaper Ad with review letter dated August 29, 2012.
R-004	GWG Magazine Ad with review letter dated August 29, 2012.
R-005	GWG Tri-Fold Filer
R-006	GWG post card
R-007	GWG Newspaper
R-008	GWG Magazine
R-009	Center Street Advertising and Sales Literature Submission form March 5, 2012.

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EXHIBIT	DESCRIPTION
R-010	Center Street Advertising and Sales Literature Submission form April 26, 2012.
R-011	Center Street Advertising and Sales Literature Submission form June 1, 2012.
R-012	Center Street Advertising and Sales Literature Submission form July 25, 2012.
R-013	Center Street Advertising and Sales Literature Submission form August 21, 2012.
R-014	Center Street Advertising and Sales Literature Submission form September 28, 2012.
R-015	Center Street Advertising and Sales Literature Submission form September 14, 2012.
R-016	Center Street Advertising and Sales Literature Submission form September 25, 2012.
R-017	Center Street Advertising and Sales Literature Submission form October 8, 2012.
R-018	Center Street Advertising and Sales Literature Submission form November 27, 2012.
R-019	Center Street Advertising and Sales Literature Submission form December 5, 2012.
R-020	Center Street Advertising and Sales Literature Submission form January 30, 2013.
R-021	Email exchange between David Escarcega and Jason Lamb attaching Center Street Advertising and Sales Literature Submission form May 30, 2013.
R-022	GWG Holdings, Inc., memorandum to GWG Selling Group Members re: GWG's revised marketing pieces pursuant to RIA FINRA review letter, dated January 18, 2013.
R-023	GWG PowerPoint presentation regarding: Renewable Secured Debentures, July 2011.
R-024	GWG Client e-Kit

EXHIBIT	DESCRIPTION
R-025	GWG Advisor e-Kit
R-026	GWG Prospectus Jan. 31, 2012
R-027	GWG Prospectus May 15, 2012
R-028	GWG Holdings Inc., Prospectus Supplement No. 2 to Prospectus dated August 14, 2012.
R-029	GWG Holdings Inc., Prospectus Supplement No. 3 to Prospectus dated November 1, 2012.
R-030	GWG Holdings Inc., Prospectus Supplement No. 4 to Prospectus dated November 14, 2012.
R-031	Naomi Golub account records.
R-032	Paul Busalacchi account records.
R-033	Alan Molmod account records.
R-034	Robert D. Lemaster account records
R-035	Marshall P. Duer account records
R-036	Richard L. Evans account records
R-037	Niels Jorgensen and Roswitha Jorgensen account records
R-038	Cynthia McLeroy account records
R-039	Nancy Zone account records
R-040	Patricia Bresee account records
R-041	Sandra Charon account records
R-042	Nellie R. Hermes account records
R-043	Walace Johnson and Satoko Mitasky account records
R-044	Karl Kopp account records
R-045	Karin Kelleher account records
R-046	Jerrold Beck and Donna Beck account records

EXHIBIT	DESCRIPTION
R-047	August 1, 2013 email from Dwain Beck to Sean FitzPatrick
R-048	August 7, 2013 email from Dwain Beck to Sean FitzPatrick
R-049	August 16, 2013 Letter from Mr. Escarcega to Jason Lamb at Center Street regarding Beck Complaint.
R-050	Calendar January 2012-January 2013
R-051	March 13, 2013 email from Jason Lamb to Sean FitzPatrick
R-052	Financial Industry Regulatory Authority Letter of Acceptance, Waiver and Consent No. 2012034936004 re: Center Street Securities, Inc. Respondent CRD No. 26898 dated 8/12/2014.
R-053	Financial Industry Regulatory Authority Letter of Acceptance, Waiver and Consent No. 2012034936003 re: Jason Price Lamb, Respondent General Securities Principal and General Securities Representative CRD No. 3248356 dated 8/12/2014.
R-054	Financial Industry Regulatory Authority Letter of Acceptance, Waiver and Consent No. 2012034936003 re: Michael John Wurdinger, Respondent General Securities Principal and General Securities Representative CRD No. 4926912 dated 4/11/2014.
R-055	Center Street Securities, Inc. Notice to Registered Reps 03-26-13, Guideline for Non-Traded Alternative Investments.
R-056	GWG RSD-Center Street Reissues
R-057	GWG Reclaim Amounts, (Repaid Commissions) October 30, 2014
R-058	July 2, 2015 email to Julie Coleman and CJ Hanselman from Paul Roshka with attached June 24, 2015 letter to "Possible Investor"
R-059	Transcript of Jason Lamb June 17, 2013 FINRA OTR testimony (Vol. 1)
R-060	Transcript of Jason Lamb June 20, 2013 FINRA OTR testimony (Vol. 2)
R-061	Transcript of Jack Thacker June 20, 2013 FINRA OTR testimony
R-062	Transcript of July 27, 2015 FINRA Hearing

1 Dated this 26th day of September, 2016.

2 **Polsinelli PC**

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4 By: 

Paul J. Roshka, Jr.

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602.650.2000

Attorneys for Respondent

9 Original + 10 copies of the foregoing
10 filed this 26th day of September, 2016 with:

11 Docket Control
12 Arizona Corporation Commission
13 1200 West Washington
Phoenix, Arizona 85007

14 Copy of the foregoing hand-delivered
15 this 26th day of September, 2016, to:

16 Mark Preny, Administrative Law Judge
Hearing Division
17 Arizona Corporation Commission
1200 West Washington
18 Phoenix, Arizona 85007
HearingDivisionServicebyEmail@azcc.gov

19
20 Copy of the foregoing hand-delivered
and emailed this 26th day of September, 2016 to:

21 Paul Kitchin, Esq.
22 Securities Division
Arizona Corporation Commission
23 1300 West Washington, 3rd Floor
Phoenix, Arizona 85007
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kh@azcc.gov

26 By 
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